

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

GRON-3402

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/088047

INTERNATIONAL APPLICATION NO.  
PCT/CA00/00614INTERNATIONAL FILING DATE  
26 May 2000PRIORITY DATE CLAIMED  
09 September 1999

## TITLE OF INVENTION

NEURAL TRANSPLANTATION DELIVERY SYSTEM

APPLICANT(S) FOR DO/EO/US

Ivar Mendez



Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☒ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☐ Other items or information:

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) <b>10/088047</b>		INTERNATIONAL APPLICATION NO. <b>PCT/CA00/00614</b>		ATTORNEY'S DOCKET NUMBER <b>GRON-3402</b>	
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24. The following fees are submitted:

BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :		CALCULATIONS PTO USE ONLY	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....	<b>\$1040.00</b>		
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....	<b>\$890.00</b>		
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....	<b>\$740.00</b>		
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....	<b>\$710.00</b>		
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....	<b>\$100.00</b>		
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>		<b>\$890.00</b>	
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).		<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	37 - 20 =	17	x \$18.00
Independent claims	1 - 3 =	0	x \$84.00
Multiple Dependent Claims (check if applicable).		<input type="checkbox"/>	<b>\$0.00</b>
<b>TOTAL OF ABOVE CALCULATIONS =</b>		<b>\$1,196.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.		<b>\$598.00</b>	
<b>SUBTOTAL =</b>		<b>\$598.00</b>	
Processing fee of <b>\$130.00</b> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).		<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE =</b>		<b>\$598.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).		<input type="checkbox"/>	<b>\$0.00</b>
<b>TOTAL FEES ENCLOSED =</b>		<b>\$598.00</b>	
		Amount to be: refunded	\$
		charged	\$

a. ☒ A check in the amount of **\$598.00** to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

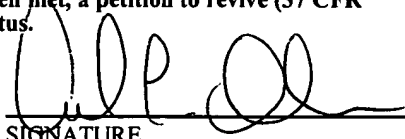
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **19-0513** A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**Arlen L. Olsen**  
**SCHMEISER, OLSEN & WATTS**  
 3 Lear Jet Lane, Suite 201  
 Latham, N.Y. 12110  
 (518) 220-1850

  
 SIGNATURE

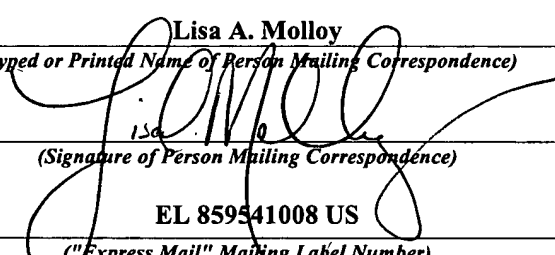
**Arlen L. Olsen**  
 NAME

**37,543**  
 REGISTRATION NUMBER

**3-11-2002**  
 DATE

10/088047

13 Rec'd PCT/PTO 11 MAR 2002

<b>CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)</b> Applicant(s): Ivar Mendez			Docket No. GRON-3402
Serial No.	Filing Date	Examiner	Group Art Unit
Invention: <b>NEURAL TRANSPLANTATION DELIVERY SYSTEM</b>			
I hereby certify that the following correspondence: <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"><b>371 Filing and Corresponding Paperwork</b></div> <p style="text-align: center;"><i>(Identify type of correspondence)</i></p> <p>is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on</p> <p style="text-align: center;"><u>March 11, 2002</u> <i>(Date)</i></p> <div style="text-align: right; margin-top: 20px;"><div style="display: inline-block; text-align: center;"><div style="border-top: 1px solid black; width: 150px; margin: 0 auto;">Lisa A. Molloy <i>(Typed or Printed Name of Person Mailing Correspondence)</i></div><div style="border-top: 1px solid black; width: 150px; margin: 0 auto;"> <i>(Signature of Person Mailing Correspondence)</i></div><div style="border-top: 1px solid black; width: 150px; margin: 0 auto;">EL 859541008 US <i>("Express Mail" Mailing Label Number)</i></div></div></div>			
<b>Note: Each paper must have its own certificate of mailing.</b>			